

2874

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
**(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.  
12591-US

In Re Application Of: Siegfried Janz et al.

APR 29 2002

Serial No.  
10/054,911

Filing Date  
01/25/02

Examiner

Group Art Unit  
2874

Title:

**METHOD FOR POLARIZATION BIREFRINGENCE COMPENSATION IN A WAVEGUIDE DEMULTIPLEXER  
USING A COMPENSATOR WITH A HIGH REFRACTIVE INDEX CAPPING LAYER**

Address to:  
Assistant Commissioner for Patents  
Washington, D.C. 20231

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
2. a Notice of Allowance under 37 CFR 1.311,

whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

**OR**

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

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**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☐ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. \_\_\_\_\_ as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_
- ☐ Credit any overpayment.
- ☐ Charge any additional fee required.

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I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. \_\_\_\_\_)

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**Certificate of Mailing by First Class Mail**

I certify that this document and fee is being deposited on \_\_\_\_\_ with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

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\*This certificate may only be used if paying by deposit account.

Dated: April 26, 2002

Richard J. Mitchell  
34,519

Marks & Clerk  
P.O. Box 957, Station B  
Ottawa, ON, K1P 5S7  
CANADA

CC:

*(Use several sheets if necessary)*

APR 29 2002

12591-US

**10/054,911**

**Applicant(s)**

Siegfried Janz et al.

Filing Date

01/25/02

Group Art Unit
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2874

PATENT

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Translation	
YES	NO

(Including Author, Title, Date, Pertinent Pages, Etc.)

**"Design, Tolerance Analysis, and Fabrication of Silicon Oxynitride Based Planar Optical Waveguides for Communication Devices", Kerstin Worhoff et al., Journal of Lightwave Technology, Vol. 17, No. 8, August 1999, pages 1401-1407.**

DATE CONSIDERED

**EXAMINER:** Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.